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# TRANSMITTAL FORM

*(to be used for all correspondence after initial filing)*

		Application Number	10/632,482
		Filing Date	August 1, 2003
		First Named Inventor	PHAN, LOC X.
		Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	018563-001130US

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
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<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual	Townsend and Townsend and Crew LLP James M. Heslin	
Signature		
Date	8/26/03	

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Typed or printed name	Edward Masinas		
Signature		Date	08-26-03

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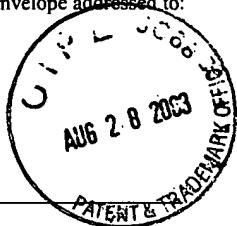
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On 08-26-03

**PATENT**  
Attorney Docket No.: 018563-001130US  
Client Reference No.: AT-00014.2



TOWNSEND and TOWNSEND and CREW LLP

By: Edward Masinas  
Edward Masinas

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LOC X. PHAN et al.

Application No.: 10/632,482

Filed: August 1, 2003

For: ATTACHMENT DEVICES AND  
METHODS FOR A DENTAL  
APPLIANCE

Examiner: Unassigned

Art Unit: Unassigned

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

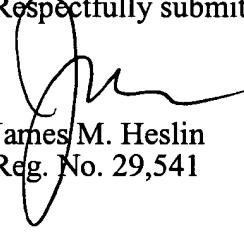
The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references, except U.S. Patent Nos. 5,975,893 and 6,309,215, can be found in Application No. 09/454,278 (now U.S. Patent No. 6,309,215), filed 12/03/99 (Attorney Docket No. 18563-001110US). Copies of U.S. Patent Nos. 5,975,893 and 6,309,215 can be found in Application No. 10/040,269, filed 10/29/01 (Attorney Docket No. 018563-001120US). It is respectfully requested that the cited references be expressly considered during the prosecution of this

application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

  
James M. Heslin  
Reg. No. 29,541

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Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Page **3** of **1** Attorney Docket Number **018563-001130US****Complete if Known**

Application Number	10/632,482
Filing Date	August 1, 2003
First Named Inventor	PHAN, LOC X., et. al.
Art Unit	Unassigned
Examiner Name	Unassigned

U.S. PATENT DOCUMENTS					
Examiner	Cite No. <sup>1</sup>	Document Number Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	AA	3,922,786		Lavin	12/1975
	AB	5,011,705		Lemchen	4/1991
	AC	5,957,686		Anthony	9/1999
	AD	5,964,587		Sato	10/1999
	AE	5,971,754		Sondhi et al.	10/1999
	AF	5,975,893		Chistiti et al.	11/1999
	AG	6,309,215		Phan et al.	10/2001

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)			
	AH	WO	98/58596		12/1998	<input type="checkbox"/>
						<input type="checkbox"/>
						<input type="checkbox"/>

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AI	Chippone, "Constructing the gnathologic setup and positioner" <i>Journal of Clinical Orthodontics</i> (1980) 14:121-133.	
	AJ	Cottingham, "Gnathologic clear plastic positioner" <i>American Journal of Orthodontics</i> (1969) 55:23-31.	
	AK	Cureton, "Correcting malaligned mandibular incisors with removable retainers" <i>Journal of Clinical Orthodontics</i> (1996) 30:390-395.	
	AL	Kesling et al., "The philosophy of the tooth positioning appliance" <i>American Journal of Orthodontics and Oral Surgery</i> (1945) 31:297-304.	

Examiner Signature	Date Considered
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<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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of

**Complete if Known**

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## FOREIGN PATENT DOCUMENTS

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Examiner Signature		Date Considered	
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